



AP3 Rec'd PCT/PTO 13 JAN 2006 P CT  
Express Mail No. EL 988497180 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Rossi

Serial No.: 10/524,233 ✓

Filed: August 6, 2003

For: **METHODS OF IDENTIFYING  
COMPOUNDS THAT MODULATE IGG  
MEDIATED MAST CELL  
ACTIVATION**

Docket No: 375462-003US (355037)

Confirmation No.: 6779

Group Art Unit: *Unassigned*

Examiner: *Unassigned*

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

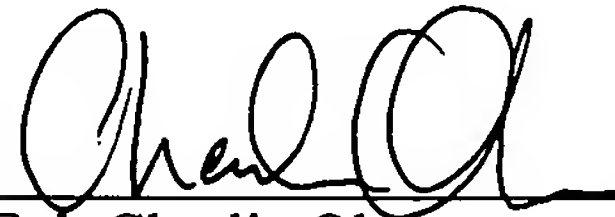
Enclosed are the following documents for filing in the above-referenced patent application:

- ☒ Information Disclosure Statement;
- ☒ Substitute Form 1449;
- ☐ Copy of International/Foreign Search Report;
- ☒ Copies of References (23 references); and
- ☒ Return Receipt Postcard.

No fees are believed due. However, the Commissioner is authorized to charge any required fees, or credit any overpayment to Dechert LLP Deposit Account No. 50-2778 (Order No.: 375462-003US).

Please direct any inquiries in connection with the above referenced application to the undersigned at telephone number 415.262.4504.

Respectfully submitted,



Euk Charlie Oh  
Reg. No. 54,345

Date: January 13, 2006

**DECHERT LLP**  
Customer No. 37509  
Telephone: 650.813.4800  
Facsimile: 650.813.4848



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Sir:

Pursuant to 37 CFR §§ 1.97 and 1.98, Applicant submits herewith patents, publications and/or other information (listed below and/or on the attached Substitute Form PTO 1449) that may be material to the examination of the captioned application, and in respect of which there may be a duty of disclosure as set forth in 37 CFR § 1.56, for consideration and to be made of record in the captioned application by the U.S. Patent and Trademark Office.

1. ☒ In accordance with 37 CFR 1.98, accompanying this Information Disclosure Statement are:

1a. ☒ copies of: (i) each foreign patent listed on the attached Substitute Form PTO 1449; (ii) each publication listed on the attached Substitute Form PTO 1449, or that portion which caused it to be listed, *other than* U.S. patents and U.S. patent application publications; (iii) for each pending unpublished U.S. application, a copy of the application specification including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion; and (iv) other information, or

that portion which caused it to be listed herein or on the attached Substitute Form PTO-1449 (37 CFR § 1.98(a)(2)); and/or

1b. ☐ a concise explanation of relevancy, or an English language translation, of non-English language publications listed on the attached Substitute Form PTO-1449 (37 CFR § 1.98(a)(3)(i) & (ii)).

2. ☐ Copies of the documents listed on the attached Substitute Form PTO-1449 that are further identified by asterisks are not enclosed herewith, because the information was previously submitted to, or cited by, the U.S. Patent and Trademark Office in parent application Serial No. \_\_\_\_\_, of which the captioned application claims benefit under 35 U.S.C. § 120, and the Information Disclosure Statement submitted in that parent application complied with paragraphs (a) through (c) of 37 CFR § 1.98 (37 CFR § 1.98(d)).

3. ☒ This Information Disclosure Statement is filed under 37 CFR § 1.97(b):

3a. ☐ within three months of the filing date of a national application other than a continued prosecution application under 37 CFR § 1.53(d);

3b. ☐ within three months of the entry of the national stage as set forth in 37 CFR § 1.491 in an international application;

3c. ☒ before the mailing of a first Office Action on the merits; *or*

3d. ☐ before the mailing of a first Office Action after the filing of a Request for Continued Examination under 37 CFR § 1.114. Accordingly, no certification or fee is required.

4. ☐ This Information Disclosure Statement is filed under CFR § 1.97(c) after the period specified by CFR § 1.97(b), but before the mailing date of any of a final Office Action under 37 CFR § 1.113, a notice of allowance under 37 CFR § 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of:

4a. ☐ the statement specified in 37 CFR § 1.97(e); *or*

- 4b. ☐ the fee set forth in 37 CFR § 1.17(p).
5. ☐ This Information Disclosure Statement is filed under 37 CFR § 1.97(d) after the period specified by CFR § 1.97(c), but on or before payment of the issue fee, and is accompanied by:
- 5a. ☐ the statement specified in 37 CFR § 1.97(e); *and*
- 5b. ☐ the fee set forth in 37 CFR § 1.17(p).
6. ☐ Certification Statement (*applicable if Item 4a or 5a is checked*)
- 6a. ☐ In accordance with 37 CFR § 1.97(e)(1), the undersigned hereby states that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; *or*
- 6b. ☐ In accordance with 37 CFR § 1.97(e)(2), the undersigned hereby states that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
7. ☐ Fee Statement and/or Authorization (*applicable if Item 4b or 5b is checked*)
- 7a. ☐ The fee set forth in 37 CFR § 1.17(p) is:
- ☐ enclosed; *or*
- ☐ to be charged to Dechert LLP Deposit Account No. 50-2778 (**Order**  
No. \_\_\_\_\_).

8. ☐ Additional materials (*if applicable*)

8a. ☐ a continuation application under 37 CFR § 1.53(b)(1) is filed concurrently herewith;

8b. ☐ a Request for Continued Examination under 37 CFR § 1.114 is filed concurrently herewith; *or*

8c. ☐ a Petition to Withdraw from issue under 37 CFR § 1.313(c)(2).

As specified in 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made.

The filing of this Information Disclosure Statement shall not be construed as a representation that no other material information as defined in 37 CFR § 1.56(a) exists.

As specified in 37 CFR § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that any information cited herein is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

Moreover, while the patents, publications and/or other information disclosed in this Information Disclosure Statement may be “material” pursuant to 37 CFR § 1.56, the Disclosure is not intended to constitute an admission that any patents, publications and/or other information included or referred to herein is “prior art” to the captioned application unless specifically designated as such.

It is respectfully submitted that this Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609. Accordingly, consideration of the foregoing and prompt return of a copy of the enclosed Substitute form PTO 1449 with the Examiner’s initials in the left column in accordance with MPEP § 609 are respectfully requested.

No fees beyond those mentioned in Item 7 are believed due in connection with the Information Disclosure Statement. However, the Commissioner is authorized to charge any

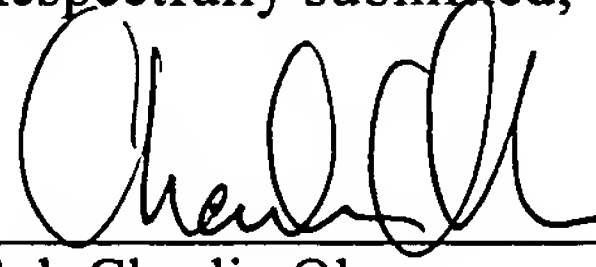
additional required fees, or credit any overpayment, to Dechert LLP Deposit Account No. 50-2778 (Order No. 375462-003US).

Date: January 13, 2006

**DECHERT LLP**  
**Customer No. 37509**  
Telephone: 650.813.4800  
Facsimile: 650.813.4848

12346889.1.BUSINESS

Respectfully submitted,



Euk Charlie Oh  
Reg. No. 54,345

Substitute for form 1449A/PTO  
(Modified)

Complete if Known

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Application Number	10/524,233
Filing Date	August 6, 2003
First Named Inventor	Alexander B. ROSSI
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	375462-003US

1

of

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	US-6,897,031			
	A2	US-20030027763			
	A3	US-20030077824			
	A4	US-20030190684			
	A5	US-20040029902			
	A6				
	A7				
	A8				
	A9				
	A10				
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	A34				
	A35				
	A36				

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English Language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the complete application form to the USPTO. Time will vary depending on the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and selection option 2



Substitute for form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/524,233
				Filing Date	August 6, 2003
				First Named Inventor	Alexander B. ROSSI
				Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	2	of	3	Attorney Docket Number	375462-003US

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	B1	WO2004015389	12/19/2004	Rigel Pharmaceuticals, Inc.		
	B2	WO03/074652	09/12/2003	Regents of Univ. of California		
	B3	WO03/020896	03/13/2003	Rigel Pharmaceuticals, Inc.		
	B4	WO02/101071	12/19/2002	Rigel Pharmaceuticals, Inc.		
	B5	WO98/55152	12/10/1998	Baylor College of Medicine		
	B6	PCT Int'l. Search Report	04/19/2004			

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	C1	Agis et al., 1996, "Comparative immunophenotypic analysis of human mast cells, blood basophils and monocytes," <i>Immunology</i> 87:535-43.	
	C2	Demo et al., 1999, "Quantitative measurement of mast cell degranulation using a novel flow cytometric annexin-V binding assay," <i>Cytometry</i> 36(4):340-8.	
	C3	Dombrowicz et al., 1998, Allergy-Associated FcRβ Is s Molecular Amplifier of IgE- and IgE-Mediated In Vivo Responses," <i>Immunity</i> 8(4):517-529.	
	C4	Galli and Lantz, 1999, "Allergy" in <i>Fundamental Immunology</i> , 5 <sup>th</sup> Ed., Paul, W.E. ed., Lippincott-Raven Publishers, New York, pg. 1130-1142.	
	C5	Ghannadan et al., 1998, "Phenotypic characterization of human skin mast cells by combined staining with toluidine blue and CD antibodies," <i>J. Invest Dermatol</i> 111(4):689-95.	
	C6	Gilmore et al., 2000, Ex vivo expansion of human umbilical cord blood and peripheral blood CD34+ hematopoietic stem cells," <i>Exp. Hematol.</i> 28(11):1297-1305.	
	C7	Gross et al., 2002, "SWAP-70-deficient mast cells are impaired in development and IgE-mediated degranulation," <i>Eur J Immunol.</i> 32(4):1121-8.	
	C8	Igarashi et al., 1996, "Characterization of histamine release from cultured human mast cells," <i>Clin Exp Allergy</i> 26(5):597-602.	
	C9	Katz et al., 1992, "Secretory granule mediator release and generation of oxidative metabolites of arachidonic acid via Fc-IgG receptor bridging in mouse mast cells," <i>J. Immunol.</i> 148(3):868-871.	
	C10	Matsuda et al., 1997, "Development of atopic dermatitis-like skin lesion with IgE hyperproduction in NV/Nga mice" <i>Int. Immunol.</i> 9(3):461-466.	
	C11	Okayama et al., 2000, Expression of a functional high-affinity IgG receptor, FcRγ1, on human mast cells: Up-regulation by IFN-γ," <i>J. Immunol.</i> 164(8):4332-4339.	
	C12	Saito et al., 1995, "Characterization of cord-blood derived human mast cells cultured in the presence of steel factor and interleukin-6," <i>Int. Arch. Allergy Immunol.</i> 107:63-65.	
	C13	Saito et al., 1996, "Selective growth of human mast cells induced by steel factor, IL-6, and prostaglandin E2 from cord blood mononuclear cells," <i>J. Immunol.</i> 157(1):343-350.	
	C14	Suzuki et al., 1997, "Early and late events in FcεR1 signal transduction in human cultured mast cells," <i>J Immunol.</i> 159(12):5881-8.	
	C15	Toru et al., 1996, "Induction of high-affinity IgE receptor (FcεRI on human mast cells by IL-4," <i>Int. Immunol.</i> 8(9):1367-1373.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English Language Translation is attached.

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	C16	Valent et al., 1992, "Cell surface structures on human basophils and mast cells: biochemical and functional characterization," <i>Adv. Immunol.</i> 52:335-339.	
	C17	Yamaguchi et al., 1999, "IgE enhances Fcε Receptor I expression and IgE dependent release of histamine and lipid mediators from human umbilical cord blood derived mast cells: synergistic effect of IL-4 and IgE on human mast cell Fcε receptor I expression and mediator release," <i>J Immunol.</i> 162(9):5455-65.	
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	C36		

Examiner Signature		Date Considered	
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